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Headquarters
Department of the Army
Washington, D. C.
28 April 1988

Immediate Action INTERIM CHANGE

AR 690-400
Interim Change
No. IO5
Expires 28 April 1990

CIVILIAN PERSONNEL

Employee Performance and Utilization

Justification. This interim change continues the guidance concerning the Department of the Army Performance Appraisal Plan for civilian employees of Interim Change IO3 dated 23 May 1986.

Expiration. This interim change expires two years from the date of publication and will be destroyed at that time unless sooner rescinded or superseded by a permanent change.

1. Post this change per DA Pamphlet 310-13.
2. File this interim change in front of the "400" series of chapters in the basic Federal Personnel Manual.

(DAPE-CPL)

By Order of the Secretary of the Army:

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Headquarters
Department of the Army
Washington, D. C.
23 May 1986

Immediate Action INTERIM CHANGE

*AR 690-400
Interim Change
No. 103
Expires 23 May 1988

Civilian Personnel

Employee Performance and Utilization

Justification. This interim change implements the Department of the Army performance appraisal plan for civilian employees covered by the Performance Management System (PMS) and the Performance Management and Recognition System (PMRS). This plan was approved by the Office of Personnel Management (OPM) on 10 April 1986 (see Appendix B). Publication of this interim change is a temporary measure to comply with the provisions of 5 CFR 540.111(b)(3) which require immediate implementation of an OPM-approved performance appraisal plan for PMRS employees. This change, therefore, is effective for PMRS employees 10 April 1986. As required by OPM regulations, this change will become effective for PMS employees at the beginning of each employee's next rating period. Retain Chapter 430 dated 15 April 1981, IO1 dated 25 April 1983, and IO2 dated 25 April 1985 which will continue to be used until this interim change is effective for all PMS employees.

Expiration. This interim change expires 2 years from the date of publication and will be destroyed at that time unless sooner rescinded or superseded by a permanent change.

1. Chapter 430 (General Performance Appraisal System) is changed as follows:

*This interim change supersedes Subchapter 3 and Appendix B, 15 November 1982, of AR 690-500, Chapter 540, and interim change IO6, AR 690-500, 29 June 1984. It rescinds DA Forms 4968, 4968-1, 4969, and 4969-1, April 81; DA Form 4979, May 81; and DA Forms 4940-R(W), 4940-1-R, 4940-2-R, and 4940-3-R, 1 Oct 80, which are obsolete.

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Chapter 430*

Performance Management

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Subchapter 1. General Provisions

1-1. PURPOSE

a. The Department of the Army Performance Management Plan to implement the Performance Management System (PMS) and the Performance Management and Recognition System (PMRS) consists of the following components:

(1) Performance appraisal systems required under 5 USC 4302 (PMS) and 4302a (PMRS) and 5 CFR Part 430, Subparts B and D (covered in this chapter).

(2) A performance appraisal system required under 5 USC 4312 and 5 CFR Part 430, Subpart C (for the Senior Executive Service, covered in AR 690-900, chapter 920).

(3) Other PMRS plans required under 5 CFR Part 540 (covered in AR 690-500, chapter 540).

(4) A performance awards plan required under 5 CFR Part 430, Subpart E; a Superior Accomplishment Awards plan required under 5 CFR Part 451, Subpart A; and a Quality Increases plan required under 5 CFR Part 531, Subpart E (all covered in AR 672-20).

(5) A within-grade increase plan required under 5 CFR Part 531, Subpart D (covered in AR 690-500, chapter 531).

b. This chapter sets forth the performance management policies and procedures for the Department of the Army, as approved by the Office of Personnel Management (See Appendix B.) Instructions are included for supervisors to prepare, process, and use the performance appraisal forms and to link performance appraisal to other personnel decisions. This chapter also provides procedures to be followed by employees who are dissatisfied with their ratings of record.

c. Requests for clarification to policy in this chapter should be sent through the chain of command to HQDA(DAPE-CPL), WASH DC 20310-0300.

1-2. OBJECTIVES

Performance management is designed to—

a. Link individual and organizational goals.

b. Involve managers, supervisors, and employees in the performance appraisal process.

c. Ensure that employees are—

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(1) Informed in writing of critical and noncritical elements and performance standards at the beginning of each rating period and whenever there are changes in elements or standards.

(2) Motivated and given the opportunity to perform to their full potential.

(3) Held accountable for meeting performance standards.

(4) Provided feedback on performance of their duties and responsibilities compared to performance standards, and on ways to improve performance.

(5) Assigned accurate element ratings and summary rating levels based on performance during the rating period.

d. Provide Army management with a tool for systematic assessment of results achieved by individual employees to--

(1) Use as a basis for planning and assigning work.

(2) Make decisions on compensation, training, rewards, reassignments, promotions, reductions in grade, retention, and removal of employees.

(3) Assist employees in improving performance.

e. Make supervisory personnel responsible for the effectiveness and productivity of the employees whom they supervise.

f. Provide a sound and continuing basis for effective supervisor-employee relationships.

1-3. APPLICABILITY

This chapter applies to any supervisor or management official, as defined in 5 USC 7103(a)(10) and (11), who is in a position within grades GS-13, GS-14, or GS-15 of the General Schedule and covered by 5 CFR Part 540. This chapter also applies to all other civilian employees paid from appropriated funds in both the competitive and excepted service except those--

a. Appointed by the President.

b. In the Senior Executive Service.

c. Who are Army National Guard technicians employed under 32 USC 709.

d. Outside the United States paid local national prevailing wage rates for the area in which employed.

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e. Occupying the following excepted service positions, which are excluded by 5 CFR Part 430:

(1) Positions for which employment is not reasonably expected to exceed 120 days in a consecutive 12-month period.

(2) Positions filled by Noncareer Executive Assignments under 5 CFR, Part 305.

f. Employed under cooperative education programs.

1-4. EXPLANATION OF TERMS

a. Days. Calendar days.

b. Employees. All individuals to whom this chapter applies (see para 1-3).

c. Critical element. A major component of a job consisting of one or more duties and responsibilities which contribute to accomplishing organizational goals and objectives and which is of such importance that unacceptable performance on the element would result in unacceptable performance in the position.

d. Noncritical element. A major component of a job which does not meet the definition of a critical element, but is important enough to warrant appraisal and assignment of an element rating. (See para k below.)

e. Performance. An employee's accomplishment of assigned duties and responsibilities as specified in the critical and noncritical elements of the employee's performance plan.

f. Performance standard. A statement of the expectations or requirements established by management for each critical and noncritical element at the rating level "met." A performance standard may include, but is not limited to, factors such as quality (how well), quantity (how much), timeliness (when), and manner of performance (how).

g. Performance plan. The written record of an employee's critical and noncritical elements and performance standards.

h. Rating period. The period of time, normally 1 year but no less than 120 days under an approved performance plan, for which an employee's performance will be reviewed and a performance rating prepared.

i. Progress review. A review of the employee's progress toward achieving performance standards, not in itself a rating.

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j. Performance appraisal. The act or process of reviewing and evaluating the performance of an employee against the described performance standards for critical and noncritical elements.

k. Element rating. The rating used to describe the appraisal of each critical and noncritical element (i.e., exceeded, met, not met, or not rated) of an employee's performance plan.

l. Summary rating. The written record of the appraisal of each critical and noncritical element and the assignment of one of five levels—Exceptional, Highly Successful, Fully Successful, Minimally Acceptable, or Unacceptable—to describe overall performance. A special rating is a type of summary rating, given under the circumstances described in Table 3-1 below.

m. Rating of record. The summary rating required at the time specified in this chapter for annual and probationary ratings, including the written notice at any time a GM employee fails to meet the performance standards for one or more critical elements.

n. Performance rating. The written record of an employee's performance compared to his or her performance plan.

o. Rating officials. The individuals in the employee's chain of command (i.e., the rating supervisor, the reviewer, and the approving official) who prepare employee performance plans and ratings.

p. Rating supervisor. Normally, the employee's immediate supervisor, military or civilian, who prepares the employee's written performance plan and rating.

q. Reviewer. An individual in the employee's supervisory chain who is normally the rating supervisor's immediate supervisor.

r. Approving official. For performance plans, the individual specified by the commander; and for ratings of record, the individual in the organization responsible for managing the performance awards budget.

s. Performance Management and Recognition System (PMRS). A system prescribed by 5 USC Chapter 54 which covers performance appraisal, pay increases, performance awards, and cash awards for GM employees in positions GS-13 through GS-15, also referred to in this chapter as GM employees. (See AR 690-500, Chapter 540.)

1-5. RESPONSIBILITIES

Performance management is an inherent responsibility of supervisors and managers, up to and including the Secretary of the Army.

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a. Commanders at all levels will--

(1) Ensure fair and consistent application of this chapter in compliance with governing laws, rules, and regulations.

(2) Develop and communicate organizational objectives and priorities to assist supervisors and managers in developing employee performance plans.

(3) Ensure that employees are informed of their annual rating periods and who their rating officials are (by position).

(4) Ensure that supervisors and employees receive appropriate performance appraisal training and orientation.

(5) Establish administrative and remedial procedures to be used when performance ratings are not completed in a timely manner.

(6) Establish procedures to manage the performance appraisal process. Such procedures must provide for review of performance standards for difficulty and consistent application, include safeguards to ensure that only those employees whose performance exceeds normal expectations are rated above Fully Successful, and assure that equitable and appropriate amounts of funds are provided for performance awards for deserving employees.

b. Approving officials will--

(1) Review and approve performance plans.

(2) Review and approve performance ratings in a timely manner, ensuring accuracy, and conformance with regulation.

(3) Ensure that performance ratings are considered in personnel management decisions and related actions.

(4) Resolve disagreements between reviewers and rating supervisors.

c. Reviewers will--

(1) Ensure that performance plans and ratings are processed by subordinate supervisors in a timely manner.

(2) Review employee performance plans and ratings prepared by subordinate supervisors to ensure consistency and equity throughout and across organizations.

(3) Ensure that Individual Development Plans are reasonable, attainable, and related to organizational goals and objectives and career progression.

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(4) Approve or recommend approval of performance plans and ratings prepared by subordinate supervisors, giving fair consideration to any employee comments.

d. Rating supervisors will--

(1) Communicate organizational goals and objectives and priorities to employees.

(2) Assure participation of GM employees in the development and revision of performance plans. Encourage non-GM employees to participate in performance plan development and revision.

(3) Discuss performance plans with employees and provide them a written copy of the plan within 30 days of the beginning of each rating period and when plans are revised during the rating period.

(4) Evaluate performance, comparing results achieved with performance plans, and counsel employees on progress and areas that need improvement, to assist in improving job performance, particularly when performance falls below Fully Successful.

(5) Prepare performance ratings in a timely manner.

(6) Use the results of performance appraisal as a basis for pay determinations and to train, reward, reassign, promote, reduce in grade, retain, or remove employees from the Federal service, or to recommend same.

e. Employees will--

(1) Take part in the development of performance plans.

(2) Plan and perform duties so that performance plans will be carried out.

(3) Propose to supervisors needed changes to performance plans during the rating period.

(4) Identify work problems and cooperate with supervisors to resolve them and set objectives to improve work performance.

(5) Complete assigned training to meet current or future job performance needs.

f. Civilian Personnel Officers will--

(1) Provide advice and assistance to supervisors and managers in carrying out their performance management responsibilities.

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(2) Provide supervisors and managers adequate performance appraisal training opportunities, technical advice in performance appraisal policies and procedures, notification of annual and probationary performance rating due dates, and necessary assistance to follow up on delinquent performance ratings and to maintain record copies of performance ratings and supporting documents (see subchapter 5).

(3) Evaluate performance management effectiveness and provide feedback to supervisors and managers.

1-6. LABOR RELATIONS PROGRAM REQUIREMENTS

The establishment and content of performance standards and the identification of critical and noncritical elements as well as the determination of the definitions of summary rating levels are retained management rights under 5 USC 7106(a)(2)(A) and (B) and are not negotiable. Exclusive representatives of bargaining unit employees may bargain on the impact and implementation of performance management decisions.

1-7. PERFORMANCE STANDARDS REVIEW BOARDS

a. General. Commanders of major Army commands and direct reporting activities employing GM employees will establish one or more Performance Standards Review Board(s) (PSRB) to carry out the provisions of this paragraph.

b. Composition. Each PSRB will consist of six members chosen by the commander or his or her designee. Three members of each PSRB must be GM employees in the competitive service. The chair of each board will be chosen by the commander or his or her designee.

c. Operating Procedures.

(1) The scope of responsibility for each PSRB may be as broad or as narrow as the convening official determines to be necessary. As a minimum, however, each PSRB will: (a) review a representative sample of GM employee Civilian Performance Plans (DA Forms 5397) for quality and difficulty of performance standards; (b) review the rating distribution for GM employees with a view toward assuring the equitable application of performance standards; (c) study the feasibility of organizational awards for GM employees; (d) provide technical assistance on any demonstration projects on performance appraisal involving GM employees; and (e) carry out other duties assigned by the commander or his or her designee.

(2) Commanders will develop specific operating procedures governing PSRB's under their jurisdiction. These operating procedures must be in writing and will include matters such as

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scope of operations, selection and review of performance standards, follow-up actions, reporting requirements, frequency of meetings, record keeping, and administrative support.

d. Reporting. The Chairman of each Board shall report to the commander or his or her designee at least annually on the matters outlined in paragraph c(1) above.

e. Restrictions. PSRB's will have no authority to approve or modify Civilian Performance Plans prepared for individual GM employees. Further, PSRB's will not recommend or dictate any distribution of GM employee performance rating levels.

1-8. ORIENTATION AND TRAINING

a. Managers and supervisors will ensure program success, including employee understanding. It is essential, therefore, that they are trained in--

(1) Performance management objectives, policies, and procedures.

(2) Methods to identify critical and noncritical elements and to establish related performance standards, linking individual performance to organizational goals and objectives.

(3) Techniques of performance appraisal including performance review, feedback to employees, and assistance to employees in improving performance.

(4) Linkages between performance appraisal and other personnel decisions.

b. Orientation will be provided for new employees. New rating supervisors will receive initial training on performance management objectives, policies, and procedures. Refresher training will be provided as needed. Managers must be trained to carry out reviewer and approving official responsibilities and to hold subordinate supervisors accountable for their performance appraisal duties. Orientation and training will be supplemented periodically by such means as supervisory and employee newsletters.

1-9. PROGRAM EVALUATION

Evaluation of performance management effectiveness, with feedback to management, will be ongoing. Internal evaluation by civilian personnel offices; Headquarters, Department of the Army and major Army command personnel management surveys; and findings of Performance Standards Review Boards (see para 1-7) will be used to identify problems or weaknesses and to determine actions to improve performance management effectiveness.

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Subchapter 2. Performance Planning

2-1. EMPLOYEE PERFORMANCE PLANS

a. A performance plan ^{must} will be prepared for each employee assigned permanently or temporarily to a position for 120 days or more. Performance plans will be recorded on DA Form 5397 (Civilian Performance Plan), communicated to the employee in writing at the beginning of each rating period (normally within 30 days), and reviewed periodically by the supervisor and employee. Performance plans will be updated as needed and will be the basis for performance appraisal during the rating period. When an employee is temporarily assigned to a position for 120 days or longer outside DA, rating officials will make arrangements with the outside organization for preparation of DA Form 5397.

b. Performance standards for the accomplishment of organizational objectives must be included in performance plans by incorporating objectives, goals, program plans, work plans, or other similar means that account for work results.

c. When new supervisors are assigned, they will review and discuss performance plans with subordinate employees as soon as possible but no later than 30 days after arrival. Similarly, supervisors will review and discuss performance plans with new employees within 30 days of their assignment. Review and discussion will be documented by means of the supervisor and employee signatures in Part III of of DA Form 5397.

d. Performance plans must be reviewed and approved by a higher level official in the organization than the rating supervisor at the beginning of each rating period and when plans are changed during the rating period. When the commander is the rating supervisor, higher level review/approval is not required.

2-2. EMPLOYEE PARTICIPATION

Performance plans will be established and updated with employee participation. While employees are to take part in this process, final decisions will be made by rating officials. Employee participation may be accomplished by means including, but not limited to, the following:

a. Employee and supervisor discuss and develop performance plans together.

b. Employee provides to supervisor a draft performance plan.

c. Employee comments on draft performance plan prepared by supervisor.

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d. Proposed performance plan is prepared by a group of employees occupying similar positions, with supervisor's approval.

2-3. IDENTIFICATION OF CRITICAL AND NONCRITICAL ELEMENTS

a. Critical and noncritical elements are identified through an analysis of duties and responsibilities (i.e., an analysis of what the job requires) and their linkage to the mission, functions, and goals and objectives of the organization. Ordinarily, a position will have 2 to 6 job elements. Every position will have at least one critical element and one noncritical element.

b. Critical and noncritical elements will be consistent with the duties and responsibilities assigned to the employee and the position. Supervisors must ensure that position descriptions are kept current. Other sources that may help identify critical and noncritical elements are mission or function statements, program budget and planning documents, organizational goals and objectives, and previously developed performance standards.

c. Collateral duties, such as equal employment opportunity counseling, are not an integral part of the position. Since they do not meet the criteria for a job element, collateral duties will usually not be included in performance plans. Supervisors must be aware, however, that the impact of assigned collateral duties on established performance standards may require revision of employee performance plans.

2-4. ESTABLISHMENT OF PERFORMANCE STANDARDS

a. A performance standard describing acceptable performance (i.e., performance at the element rating level "Met" discussed in para 3-4) will be established for each critical and noncritical element. A performance standard for a critical or noncritical element is a measurable statement, or statements, describing management's expectations for work outputs. When there are multiple statements, management's expectations for each statement (individual and collectively), and the consequences for failure to meet these expectations, should be made clear. A standard is expressed as a range of performance to obtain expected results and should include qualifying information, such as resources available. Often, multiple statements are used to describe measurable factors of performance in terms of quality, quantity, timeliness, or manner of performance. Together, these statements, which should be objective and reasonable in number, make up one performance standard for an element for which only one element rating is assigned.

b. Performance standards should be consistent with the duties and responsibilities of the position. Standards of conduct (e.g., for tardiness, absenteeism, insubordination, etc.) will not be

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included in performance standards. Similarly, personal traits (e.g., interpersonal relationships, resourcefulness, dependability, etc.) are not an appropriate basis for performance appraisal unless they are clearly job-related and capable of being documented and measured. What can be measured is the manner in which a job is performed (e.g., developing and maintaining good working relationships with representatives of other organizations). Conduct problems normally will be corrected through disciplinary procedures in Federal Personnel Manual Chapters 751 and 752 and Army Regulation 690-700, chapters 751 and 752, rather than by the performance appraisal process.

c. A well-defined performance standard will describe management's expectations for acceptable performance of a critical or noncritical element. It will provide a reliable yardstick to measure individual accomplishments. The standard, therefore, must be meaningful, challenging, attainable; and within the employee's control. It must be set at a level which is high enough to meet the needs of the position and to motivate the employee toward excellence, and low enough to be met by a competent employee. An exception is pass/fail standards (also called absolute standards) which cannot be exceeded. These standards should be avoided unless required by regulation or the employee's position (e.g., security or medical).

d. Performance standards require periodic review for needed change. Factors such as a change in the level of responsibilities or a change in program priorities could trigger a change to performance standards to maintain their accuracy.

2-5. SPECIAL REQUIREMENTS FOR PERFORMANCE PLANS AND RATINGS

a. Furthering equal employment opportunity (EEO) and affirmative action is an important Army goal and a significant aspect of supervisory and managerial positions. To achieve this goal, EEO will be a critical element in all supervisory positions with responsibilities for carrying out local affirmative action plan requirements. Also, EEO will be a critical element in management official positions where program management actions directly affect EEO. Commanders shall provide for appropriate involvement of the EEO Officer in determining which supervisors and managers should have EEO as a critical element, in preparing model standards for the EEO critical element, and in advising the rating officials on evaluation of performance. Performance standards for EEO will be stated in visible, positive terms and will indicate action desired. In developing performance standards, the rating supervisor should use specific criteria such as:

- (1) Recruitment, promotion, training, and incentive awards actions.

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(2) Program support as demonstrated by planned actions within the work force and the community, through standards which build a harmonious environment free of discrimination, and through standards which reinforce EEO policy.

(3) EEO performance standards that higher level supervisors and managers impose on subordinate supervisors and other standards which lead to fair and equal treatment of people.

b. Supervisory and managerial positions involve supervising people and managing programs. As such, additional measures are available for use in evaluating performance in these positions. To the extent that a job has the following responsibilities, performance standards will be established to provide for appraisal of:

(1) Organizational accomplishments as well as individual performance.

(2) Improvement in efficiency, productivity, and quality of work or service, including any significant reduction in paper-work.

(3) Personnel management, internal control, position management, audit resolution, and safety.

(4) Cost efficiency and timeliness of performance (e.g., efforts to increase competition and achieve cost savings in contracting).

(5) Other indications of the effectiveness, productivity, and quality of performance of employees supervised.

c. To ensure the proper handling and protection of classified information, performance plans for employees whose duties entail access to classified information will provide for appraisal of:

(1) Whether supervisors are aware of actions, behavior or conditions that would constitute a reportable matter under AR 604-5 and, if the response is affirmative, whether an appropriate report has been made.

(2) Discharge of security responsibilities.

d. Rating officials shall consult other staff officials (e.g., the Civilian Personnel Officer, the Position Management Officer, the Safety Officer, etc.) who may have special knowledge of performance during the rating period. Staff officials, however, will not be rating officials for employees other than those under their personal supervision.

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2-6. VARIATIONS IN CRITICAL AND NONCRITICAL ELEMENTS AND
PERFORMANCE STANDARDS

a. There may be variations in critical and noncritical elements and related performance standards for like or similar jobs within organizations due to differences in mission, the character or technology of the work, emphasis on job elements, and distribution of work among individual employees. Variations should reflect real differences in jobs, not differences in the ability or performance of individual employees.

b. Variations in job requirements for some wage grade and lower level clerical positions and in jobs common to a specific organization are often negligible. Major Army commands and activities are encouraged to identify these jobs and develop generic performance standards for them. Such initiatives, tailored to certain occupations or groups of occupations which are suitable for Army-wide application, and plans to develop and test new approaches to the development of performance standards should be submitted through command channels to HQDA(DAPE-CPL) WASH DC 20310-0300 for coordination.

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Chapter 3. Performance Appraisal Process

1.1. PROGRESS REVIEWS

a. Performance appraisal is a continuing process during which supervisors judge the work of individual employees compared to performance standards for the critical and noncritical elements of the position. An employee will be appraised only by comparing performance with his or her individual performance plan for the current rating period. The employee must have at least 120 days (the minimum rating period) between receipt of the performance plan and the end of the rating period to meet performance standards.

b. Supervisors should periodically appraise overall performance and keep employees informed of their progress toward meeting performance standards. Performance review discussions should be held as often as needed to provide supervisors with data to assess work progress and to help employees improve their performance. Supervisors will hold progress reviews at the mid-point of employees' rating periods, as a minimum. Periodic counseling sessions with employees will ensure timely identification of their strengths and weaknesses and help to avoid unexpected performance ratings at the end of the rating period.

c. At the time a supervisor identifies performance which fails to meet performance standards for a critical or noncritical element, the supervisor will inform the employee of his or her performance deficiencies (see para 3-5f). Timely counseling sessions should be held to identify corrective actions and assist the employee to improve performance. If an employee's job performance appears to be affected by a personal problem, the supervisor should seek advice and assistance from the civilian personnel office or the Army Alcohol and Drug Abuse Prevention and Control Program. When an employee alleges that a performance problem is due to alcohol or drug abuse, management must offer rehabilitation assistance to the employee. (See AR 600-85). DA policy pertaining to drug use by and urinalysis of employees in critical positions is set forth in AR 600-85 and AR 690-700, Chapter 751.

d. Rating supervisors will discuss changes to performance plans with employees when changes occur. Changes will be developed with employee participation in the same manner as initial development of performance plans. Changes in mission, organization, technology, or program emphasis; revisions to position descriptions; or changes to performance standards which were set too high or too low may require revised performance plans. Any such changes must be introduced far enough before the end of the rating period to give employees an opportunity to meet revised performance standards. The length of time needed will depend on the nature of the job and the extent of the changes.

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3-2. EMPLOYEE PERFORMANCE RATINGS

a. After the rating period ends, the rating supervisor will prepare a proposed DA Form 5398 (Civilian Performance Rating). The supervisor will consider performance during the entire rating period. Thus, consideration will be given to performance compared to the employee's current performance plan and performance under other plans (e.g., special ratings and summary ratings transferred with employees from other Federal agencies.) Consideration will give due weight to such factors as, length of time covered by special ratings and summary ratings, similarity between job elements and performance standards, and explanations of employee strengths and/or weaknesses.

b. Performance ratings and performance-based personnel actions will be reviewed and approved by officials at a higher level in the organization than the rating supervisor. Rating supervisors will discuss proposed performance ratings with other rating official(s) before discussion with employees. Mutual agreement among rating officials will be sought but the approving official has final authority. When the commander is the rating supervisor, higher level review/approval is not required.

c. The rating of record will not be communicated to employees before approval of the performance rating. This does not preclude communication about appraisal of performance between a supervisor and an employee prior to determination of a rating of record. All employees will sign and date performance ratings after approval and signing by the approving official. If an employee refuses to sign and date a performance rating, it will be completed as stated in paragraph A-12f.

d. If a rating supervisor fails to complete a performance rating when due (see Table 3-1), the servicing civilian personnel office will conduct a follow-up and bring the tardiness to the attention of the rating officials involved who will complete the rating within 30 days. If the rating is still delinquent at the end of 30 days, the issue will be raised to the next higher level of supervision for action.

e. When a rating official is not able to participate in the preparation of a performance rating (e.g., extended illness, death, reassignment, resignation, etc.), it will be done by the new or next-level supervisor(s) by the due date.

3-3. WRITTEN RATINGS

a. Types of ratings. There are three types of written ratings: annual, probationary, and special. Table 3-1 explains rating periods, rating requirements, due dates, rating period extensions, and other information for each type of rating.

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b. Temporary promotions and details. Performance on temporary promotions and details for 120 days or more within or outside the Department of the Army will be documented by a special rating. (See Table 3-1, item 3.) An employee temporarily promoted occupies the position to which promoted, not the former position. Therefore, if the employee's rating period ends while on a temporary promotion that has been at least 120 days in duration, an annual rating will be prepared by the supervisor of the position to which the employee is temporarily promoted. Conversely, an employee detailed to another position continues to officially occupy the position from which detailed. This employee's annual rating, therefore, will be prepared by the supervisor of the position from which detailed. Special ratings for the employee's permanent position, and any other positions occupied during the rating period, must be considered in preparing the annual rating.

3-4. CRITICAL AND NONCRITICAL ELEMENT RATINGS

When preparing performance ratings, the supervisor will assign one of four element ratings--Exceeded, Met, Not Met, or Not Rated--for each critical and noncritical element. Employees are entitled to the element rating that most accurately describes their performance compared to the performance standard for the element. Not Rated will be used only when an employee has had no opportunity to demonstrate performance on an element (e.g., performance standard revised too near the end of the rating period). Only elements that are rated will be considered in determining the summary rating level.

3-5. SUMMARY RATING LEVELS

a. One of five rating levels, based on assigned element ratings, will be used to describe the quality of overall job performance. Table 3-2 will be used to decide the appropriate summary rating level.

b. In some cases, such as those described in paragraphs (1)-(3) below, an accurate summary rating level based on element ratings will not result. In such situations, major Army commanders and heads of direct reporting activities and Army staff agencies or their authorized designee may deviate from the criteria for summary rating levels 1-4 in Table 3-2. Deviations will be explained fully in Part II, item 9 of DA Form 5398.

(1) An employee's individual performance contribution to organizational achievements was such that though the employee was rated "Exceeded" on all job elements except one critical element that was rated "Met," an Exceptional rating was approved.

(2) The overall level of performance of an employee who was rated "Exceeded" on all critical and noncritical elements only warranted a Highly Successful rather than an Exceptional rating.

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(3) Even though Table 3-2 indicated a Fully Successful performance rating level based on element ratings, a supervisor assigned a Highly Successful rating after consideration of special ratings for performance in other positions during the rating period.

c. Notwithstanding paragraphs a and b above, when EEO is identified as a critical element and is rated, it must be rated (1) "Exceeded" to assign a summary rating level above Fully Successful and (2) "Met" to assign a Fully Successful or Minimally Acceptable rating.

d. The performance appraisal and resulting rating level of a disabled veteran may not be lowered because the veteran has been absent from work to seek medical treatment as provided in Executive Order 5396.

e. DA Form 2443 (Commendation Certificate) will be presented to employees rated Exceptional. Only one certificate will be used if an Exceptional rating and a performance award cover the same period.

f. When an employee is rated below Fully Successful or performance standards are "not met" for one or more critical elements, the supervisor must take action to assist the employee improve his or her performance. Such assistance may include, but is not limited to, formal training, on-the-job training, counseling, and closer supervision. Also, the employee must be informed in writing that performance of a critical element must reach the "met" level for retention in the position. This written notice constitutes an Unacceptable rating of record for GM employees. If the employee's performance remains at the "not met" level after a reasonable opportunity to improve, action will be taken to reassign that employee or to remove him or her from the position based on unacceptable performance (see para 4-6).

g. Ratings of record are effective on the date approved and remain in effect until replaced by another rating of record prescribed by this chapter.

h. Employees are entitled to the summary rating level that most accurately describes their overall level of performance during the rating period. Only those employees whose performance exceeds normal expectations should be rated above Fully Successful. Pre-established or forced distribution of summary rating levels is prohibited.

3-6. INABILITY TO RATE

When a performance rating cannot be completed at the end of the rating period, the rating period will be extended and a rating will be prepared. (See Table 3-1, Rating Period Extension.)

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During any period of time when a new rating of record cannot be prepared or a previous rating cannot be extended, the employee's performance is assumed to be Fully Successful. There may be an inability to rate an employee in the following situations (not all inclusive):

- a. The employee was not given job elements and performance standards.
- b. The employee is in an "opportunity to improve performance period."
- c. The employee was on long-term training.

3-7. GRIEVANCES

Employees who are dissatisfied with their performance rating or other aspects of the performance appraisal process may file a grievance under the Department of the Army Grievance System or a negotiated grievance procedure, as appropriate. However, the identification of critical or noncritical elements or the establishment of performance standards is not subject to review under any grievance or appeal procedure.

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Table 1-1
Annual Performance Rating

Rating Period	Rating Period	Rating Period	Rating Period	Rating Period
1. Annual Rating	2. Annual Rating	3. Annual Rating	4. Annual Rating	5. Annual Rating
<p>a. The annual rating period will normally cover a 12-month period, except that the rating period for career items will cover a 12-month period (also see AF 690-400-3, chap 9 for career item appraisal).</p> <p>b. The regular annual rating period for GM employees is from 1 July through 30 June. Rating periods for non-GM employees will be determined by the commander of each MAJCOM or may be further delegated to local commanders. The minimum annual rating period is 120 days under an approved performance plan.</p> <p>c. Rating periods may not be shortened or lengthened except for the reasons stated elsewhere in this table. Normally, an employee who remains in the same position and same organization for an entire rating period will receive only one annual rating.</p>	<p>a. A rating will be prepared at the end of employee's scheduled rating period, including extensions.</p> <p>b. A rating will be prepared: (1) as of the date the supervisor leaves if departure is less than 120 days before the end of the rating period; (2) as of the date an employee moves to another Army position if departure is less than 120 days before the end of the rating period; (3) when performance improves to a Fully Successful or higher level 120 days or more after assignment of a summary rating below Fully Successful; and (4) as of the date of termination of an employee serving under an overseas local hire appointment who is eligible to meet the criteria established in 5 CFR 315.608(a). The 120-day minimum annual rating period is waived in (4) above.</p> <p>c. When an acceptable level of competence determination is due for employees described in (1) and (2) below, a rating will be prepared as soon as the minimum rating period (120 days) requirement is met.</p> <p>(1) The employee has been reduced in grade because of unacceptable performance and has served in one position at the lower grade for at least 120 days.</p> <p>(2) The employee does not have a rating of record in any position within 90 days before the end of the rating period and has not had an opportunity to demonstrate acceptable performance because he or she has not been informed of the specific requirements for performance at an acceptable level of competence.</p>	<p>Within 40 days following the end of the rating period, unless otherwise specified, unless special circumstances exist. Rating period extensions for GM employees are authorized by this paragraph for nonpay purposes. Rating periods for GM employees may not be extended beyond 30 September for pay purposes. (See AF 690-500, chapter 540.) Situations in which extension is appropriate follow—</p> <p>(1) To meet the 120-day minimum rating period (mandatory).</p> <p>(2) To provide a new supervisor an opportunity to observe an employee's performance against current requirements when information concerning the employee's past performance during the rating period is not available.</p> <p>(3) To appraise employees whose overall performance has been less than Fully Successful due to a personal problem (e.g., illness, alcoholism, drug abuse, or other handicapping conditions), and performance shows evidence of improvement.</p> <p>(4) To provide an employee who has been notified of failure to meet the performance standards for one or more critical elements of the position an opportunity to improve performance.</p> <p>b. Rating periods will not be extended because a performance plan is revised less than 120 days before the end of the rating period if the original plan was in effect at least 120 days immediately before the revision. In such cases, the original plan will be used for the current rating period and the revised plan will be used starting with the next rating period.</p>	<p>a. Scheduled annual ratings will be deferred while employees other than GM employees and new supervisors or managers are serving probationary or trial periods. When deferred, the rating period for the first scheduled annual rating will begin the first day of the ninth month of the probationary period and will end not earlier than the end of the probationary period. The first scheduled annual rating may cover a period less or more than 12 months but will cover at least 120 days.</p> <p>b. When an employee has not served 120 days in a DA position, but has been detailed outside DA for at least 120 days, information from the outside organization will be used to prepare the rating. (See item 3, Special Rating below.)</p> <p>c. Special ratings and summary ratings transferred from other Federal agencies will be considered in determining the annual rating.</p>	<p>a. Scheduled annual ratings will be deferred while employees other than GM employees and new supervisors or managers are serving probationary or trial periods. When deferred, the rating period for the first scheduled annual rating will begin the first day of the ninth month of the probationary period and will end not earlier than the end of the probationary period. The first scheduled annual rating may cover a period less or more than 12 months but will cover at least 120 days.</p> <p>b. When an employee has not served 120 days in a DA position, but has been detailed outside DA for at least 120 days, information from the outside organization will be used to prepare the rating. (See item 3, Special Rating below.)</p> <p>c. Special ratings and summary ratings transferred from other Federal agencies will be considered in determining the annual rating.</p>

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Table 3-1
Written performance ratings

Type of Rating	Rating Period	Rating Requirements	Due Dates	Rating Period Extensions	Remarks
2. Probationary Ratings	The probationary rating will cover the first 8 months of the probationary period.	A rating will be prepared for an employee serving (1) a probationary appointment, (2) a probationary period for initial appointment to a supervisory or managerial position, and (3) a trial period for excepted appointment.	Not later than the end of the ninth month of the probationary/trial period.	Rating periods will not be extended.	Rating officials will rate each job element when preparing a probationary rating. A summary rating level will be assigned except for probationary ratings of GS employees and new supervisors and managers.
3. Special Ratings	<p>a. The minimum special rating period is 120 days within the annual or probationary rating period under an approved performance plan.</p> <p>b. Rating periods for special appraisals end--</p> <p>(1) When an employee moves to another position 120 days or more before the end of the rating period.</p> <p>(2) At the end of the employee's annual or probationary rating period and/or the end of the temporary assignment, as appropriate.</p>	<p>a. Special ratings will be prepared when--</p> <p>(1) A temporary assignment of 120 days or longer ends either within or outside DA.</p> <p>(2) The annual or probationary rating period ends during a temporary assignment after 120 days or longer.</p> <p>(3) An employee moves from one position to another during the rating period or moves to a position in another agency.</p> <p>(4) The supervisor of a GS employee leaves during the rating period and the employee has not been rated in the position or, if previously rated, performance of one or more job elements has changed since the last rating.</p> <p>(5) An acceptable level of competence (ALOC) determination is not consistent with a GS employee's most recent rating of record. This special rating will be the employer's rating of record for ALOC determination purposes only.</p> <p>b. Preparation of special ratings for non-GS employees should be considered when a supervisor leaves.</p>	<p>Special ratings will be due 30 days after the end of the special rating period.</p> <p>Not applicable.</p>	<p>a. Performance plans for temporary assignments should be prepared no later than 30 days after the beginning of a temporary assignment expected to last 120 days or longer. When the detail is outside DA, rating officials must make a reasonable effort to arrange for and obtain appraisal information from the outside organization.</p> <p>b. Rating officials will rate each job element and assign a summary rating level when preparing a special rating.</p> <p>c. Special ratings will be considered by the rating officials when preparing the annual rating.</p>	

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Table 3-2
Summary rating levels

Level	Criteria
1. Exceptional	Exceeds performance standards for all critical and noncritical elements.
2. Highly Successful	Exceeds performance standards for the majority of critical elements, including EEO, meets performance standards for all other critical elements, and at least meets performance standards for all noncritical elements.
3. Fully Successful	At least meets performance standards for all critical and noncritical elements.
4. Minimally Acceptable	At least meets performance standards for all critical elements and fails to meet performance standards for one or more noncritical elements.
5. Unacceptable	Fails to meet performance standards for one or more critical elements.

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Subchapter 4. Performance Appraisal Linkage

4-1. GENERAL

Supervisors and managers will use performance ratings of subordinate employees as a basis for adjusting base pay and determining performance awards, training, rewarding, reassigning, promoting, reducing in grade, reduction-in-force, retaining, and removing employees. Such determinations will also be influenced by decisions made by the Merit Systems Protection Board, Equal Employment Opportunity Commission, Federal Labor Relations Authority, and the courts.

4-2. TRAINING

Preparing an Individual Development Plan is an integral part of the annual performance rating process. An exception may be made when the supervisor determines that a plan is not needed (e.g., when an employee has achieved full performance or plans to vacate the position). (See para A-8.) Plans should include appropriate actions to assist employees improve performance. Supervisors should refer to the employee's most recent performance rating when recommending on and off-the-job training and self-development activities. (See AR 690-400, chap 410.)

4-3. MERIT INCREASES

Performance appraisal will be used as a basis for determining eligibility for and allocation of merit increases for GM employees. (See AR 690-500, chap 540.)

4-4. WITHIN-GRADE INCREASES

a. A Federal Wage System employee will advance automatically to the next higher step if his or her rating of record is Fully Successful or better, and he or she is otherwise eligible for a within-grade increase. (See FPM Supp 532-1, para S8-5.)

b. To receive a within-grade increase, a General Schedule employee's rating of record must be Fully Successful or better (i.e., performance at an acceptable level of competence) for the employee's most recently completed rating period. When an acceptable level of competence determination is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared. (See Table 3-1, Special Ratings, and 5 CFR Part 531.)

4-5. PERFORMANCE RECOGNITION

a. GM employees who receive Exceptional ratings will receive a performance award. Other employees who receive Exceptional ratings should be considered for a performance award or a Quality Step Increase.

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b. All employees who are rated Highly Successful and those rated Fully Successful who exceed the minimum requirements (with at least one critical element exceeded) may be considered for a performance award. Recommendations for such awards, however, will be made at the discretion of the supervisor. Employees should not be informed of an award recommendation until the award is approved and processed. (See AR 672-20.)

4-6. PROMOTION

Employee ratings of record will be used in the merit promotion process. Appraisal information used for promotion purposes should be relevant to the job for which the employee is being considered. Local merit promotion plans should indicate when and how performance ratings are to be used. (See FPM chap 335, FPM Supp 335-1, and AR 690-300, chap 335.)

4-7. PROBATIONARY OR TRIAL PERIODS

a. Employees will be observed and appraised during their probationary or trial periods to determine whether they have the qualities needed to perform assigned duties and responsibilities. An employee serving a probationary or trial period for competitive or excepted appointment must meet performance standards for all job elements (critical and noncritical) and meet all other regulatory requirements to be recommended for retention. (See FPM chap 315, subchap 8; AR 690-300, chap 302, para 1-6.) Failure to meet performance standards for one or more job elements will be the basis for separation during the probationary period. An employee serving a probationary period for initial appointment to a supervisory/managerial position who does not meet performance standards for all job elements (critical and noncritical) related to supervisory/managerial duties will be returned to a nonsupervisory/managerial position. (See FPM chap 315, subchap 9.)

b. Certification to retain in, or remove a probationary employee from a position will be made at the end of the eighth month of employment (i.e., during the ninth month), using DA Form 5398, Part I, item 7. (See para A-6d below.) This certification requirement, however, does not mean the employee cannot be removed from the position before or after the ninth month of the probationary period.

4-8. REDUCTION IN FORCE

Procedures for crediting performance results for reduction in force purposes will be in accordance with 5 CFR Part 351. Ratings of record prepared only for pay purposes to meet the requirements of 5 CFR 540.104(a) and 5 CFR 531.404(a) (see Table 3-1, Annual Rating Period Extensions) will not be used for reduction in force purposes.

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4-9. REASSIGNMENT, REDUCTION IN GRADE, OR REMOVAL

When an employee continues to perform at the "not met" level after being given assistance and an opportunity to meet performance standards, action will be taken to remove that employee from the position by reassignment, demotion, or removal from the Federal service. Such action may be taken at any time, during or at the end of the rating period. (See AR 690-400, chap 432.)

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Subchapter 5. Performance Appraisal Documents

5-1. EMPLOYEE PERFORMANCE PLANS

A DA Form 5397 will be completed in duplicate for each employee within 30 days of the beginning of his or her rating period. The rating supervisor will give the original to the employee and retain a copy. The rating supervisor will ensure that changes to the plan during the rating period are approved and recorded on both copies of the form.

5-2. PERFORMANCE APPRAISAL

a. Progress reviews. Supervisors may use the SF 7-B (Employee Record) or other documents to record discussions, agreements, or performance observations for preparing performance ratings. Personal notes and materials that are not circulated to or used by anyone other than a supervisor and are discarded or retained at his or her discretion are not agency records for Freedom of Information Act purposes. However, when such materials are used as the basis for any action and retained, they become official records for both the Freedom of Information and Privacy Acts.

b. Written performance ratings.

(1) Performance ratings will be prepared using DA Form 5398. The number of copies to be prepared and the distribution of copies are shown in Table 5-1.

(2) When a discrepancy is detected in an approved performance rating during the next rating period, the record will be corrected at once. Discrepancies may result from typographical or clerical errors which unintentionally change the content or due date of the report. Also, performance ratings may be changed as a result of findings by grievance examiners, presiding officials, or arbitrators in grievance or complaint proceedings. Corrective action will include—

(a) Preparation of a corrected performance rating by the appropriate rating officials for the same rating period shown.

(b) Destruction of all copies of the erroneous rating and distribution of the corrected rating.

(c) Adjustment of personnel actions based on the erroneous rating, to the extent practical.

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Table 5-1
Recording written performance ratings

Type of Rating	No. of Copies	Distribution
1. Annual	Complete in triplicate.	a. Original to employee. b. Copy to rating supervisor. c. Record copy to the Civilian Personnel Office for retention and disposition in accordance with 5 CFR 293.
2. Probationary	Complete in triplicate.	Same as 1a, b, and c above.
3. Special	Complete in triplicate.	a. Same as 1a, b, and c above. b. When a special rating is completed for a <u>departing employee</u> , the "Supervisor" copy will be sent through civilian personnel office channels to the gaining organization for the employee's new supervisor. When it is completed by a <u>departing supervisor</u> , the "Supervisor" copy will be left with the losing organization for the new supervisor. c. When a special rating covers performance while on a <u>temporary promotion or detail</u> , the "Supervisor" copy will be sent to the employee's supervisor of record.

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Appendix A.

Performance Appraisal Forms and Instructions

Section I

Civilian Performance Plan (DA Form 5397)

A-1. PURPOSE AND USE

DA Form 5397 will be completed to inform the employee for whom it is prepared of management's expectations for performance during his or her annual or probationary rating period or temporary assignment. The form should be used by the supervisor and the employee as a guide toward achieving performance objectives. If there are unused authorization blocks in Part III at the end of the rating period and the plan is applicable to the next rating period, it may continue to be used. When this is done, Part III must be completed at the beginning of each rating period for which the plan applies.

A-2. PART I, ADMINISTRATIVE DATA

Part I identifies the —

- a. Employee by name and social security number (item 1).
- b. Employing office, including the organization to which the employee is assigned (item 2).
- c. Position (item 3) for which the performance plan is being developed.

A-3. PART II, PERFORMANCE ELEMENTS AND STANDARDS

a. Part II is completed by the rating supervisor after discussion with the employee, or with the employee taking part, as follows:

(1) List job elements in column a. Number the elements sequentially (i.e., 1, 2, 3, etc.).

(2) Enter "Yes" in column b opposite each element that meets the definition of a critical element and "No" opposite each noncritical element.

(3) In column c, state the performance standard for each critical and noncritical element, numbered to correspond with the job element being described.

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b. The rating supervisor must decide whether Part II will be annotated or completely redone when critical elements, noncritical elements, or performance standards are added or revised during the rating period. If Part II is annotated, Part III will be completed, using the procedure in paragraph A-4 below. If Part II is redone, a new DA Form 5397 will be completed and the initial performance plan will be attached.

c. At the time changes are made, rating supervisors must determine whether enough time remains in the rating period for the employee to meet the revised standards, whether the revised element(s) will be "not rated" at the end of the rating period, or whether the revised performance plan will not be used for performance rating purposes until the next rating period. (See para 3-1d and Table 3-1, Rating Period Extensions, item 1b.)

d. If additional space is needed, the rating supervisor will continue on an 8½ x 11 inch attachment. If an attachment is used, show the employee's name, position title, pay plan, series, and grade and fill in the block in the upper right-hand corner of DA Form 5397 to show the total number of pages, which will not exceed two.

A-4. PART III, AUTHENTICATION

a. This part is completed by the rating supervisor and the employee at the beginning of and during the rating period whenever Part II is changed, as follows:

(1) The rating supervisor signs and dates both copies of the form on line 1. The supervisor's signature indicates that the employee has been given an opportunity to take part in developing job elements and performance standards and that Part II has been discussed with the employee.

(2) The reviewer/approving official signs and dates both copies of the form on line 2.

(3) The employee signs and dates both copies of the form on line 3. The employee's signature indicates that the supervisor has discussed the form with the employee, but does not necessarily mean that the employee agrees with the job elements and performance standards.

b. If the employee refuses to sign the performance plan, the rating supervisor will try to solve the problem. If it cannot be solved, the supervisor will note the employee's refusal on line 3, enter the date, and give the original to the employee.

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c. The date on line 3 will be the effective date of the plan. This is the date the performance elements and standards for the position were discussed with, and provided in writing to, the employee.

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Section II

Civilian Performance Rating (DA Form 5398)

A-5. PURPOSE AND USE

DA Form 5398 is an official record of the employee's accomplishments during the rating period for an annual, probationary, or special rating. It will be completed after the rating period ends or to meet a special rating requirement.

A-6. PART I, ADMINISTRATIVE DATA

Detailed instructions for completing Part I follow:

a. Items 1-3: Enter information the same as in Part I of DA Form 5397 (see para A-2 above) for this employee.

b. Item 4: Enter starting and ending dates of the employee's rating period, normally 1 year for annual ratings. The "From" date for annual ratings is normally the day following the last day ("To") of the employee's preceding annual rating period or, if not previously rated, the date the employee entered the position. The "To" date for all types of ratings is the last day of the rating period, including authorized extensions as discussed in Table 3-1.

c. Item 5: Enter the starting date of the employee's rating period or the date the supervisor entered on duty, whichever is later.

d. Items 6-7: Check the proper block in item 6 to indicate an annual, special, or probationary rating. If it is a probationary rating, also check either "Retain" or "Remove from position" in item 7, based on the employee's performance during the rating period in accordance with paragraph 4-7 above.

A-7. PART II, PERFORMANCE EVALUATION

a. Attach a copy of the employee's DA Form 5397 to the rating. Transfer the job elements from Part II of DA Form 5397 to column 8a. The numbers for job elements in column 8a and the critical or noncritical element designations in column 8b will be the same as shown in Part II of DA Form 5397. Compare the employee's performance during the rating period with the performance standard for each job element on DA Form 5397 and enter one element rating (E-Exceeded, M-Met, NM-Not Met, or NR-Not Rated) in column c for each job element.

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b. Item 9 will be used to explain how the performance standard for a job element was Exceeded, Met, or Not Met and why a job element was Not Rated. All Not Rated entries must be fully explained. All Exceeded and Not Met element ratings will be explained when other than a Fully Successful rating is assigned. An explanation of Exceeded and Met element ratings is optional when the summary rating level is Fully Successful. Explanations must be adequate to support recommended personnel actions (e.g., a performance award, training, reassignment, etc.), based on the employee's rating. The basis for a commander deviating from Table 3-2 in deciding on a summary rating level will be explained in item 9 also. (See para 3-5.)

c. After the proposed performance rating has been approved by other rating officials, it will be discussed with the employee. The rating of record will not be communicated to employees before approval. If Part III is to be completed, encourage the employee to take part. (See para A-8.)

A-8. PART III, INDIVIDUAL DEVELOPMENT PLAN

a. A plan that will contribute to current or future performance will be developed by the rating supervisor completing an annual or probationary rating. Development of a plan for special ratings is discretionary with rating officials.

b. Individual development plans should include types of training (course title(s) if known), assignments, or self-development activities needed to develop, maintain, or improve employee competence in the present job or in a designated position to which the employee can progress through noncompetitive channels. Actions to assist employees improve performance will be specified in the plan, as appropriate.

c. If a plan is not needed (e.g., no additional training necessary, employee planning to vacate the position soon, etc.), enter "None Required" in Part III.

A-9. PART IV, SENIOR EXECUTIVE SERVICE (SES) ONLY

This part of the form DOES NOT APPLY for this chapter.

A-10. PART V, COMMENTS

This part may be used by rating officials and the employee to record comments about the performance rating.

A-11. PART VI, SUMMARY RATING LEVEL

Compare the element ratings assigned in Part II of DA Form 5398 with Table 3-2 and check the appropriate block. Paragraph 3-5

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above sets forth procedures for deviating from Table 3-2. Omit this item FOR PROBATIONARY RATINGS FOR GM EMPLOYEES AND NEW SUPERVISORS/MANAGERS.

A-12. PART VII, AUTHENTICATION

a. The rating supervisor will sign and date all copies of DA Form 5398 in item 15 and send them to the approving official or, if required by local procedures, to the reviewer.

b. The reviewer will sign and date all copies of the form in item 16 and send them to the approving official. When a reviewer was not designated, the rating supervisor will enter "Not Applicable" in item 16.

c. Item 17 DOES NOT APPLY for this chapter.

d. The approving official will sign and date all copies of the form in item 18 and return them to the rating supervisor. The date in item 18c will be the effective date of the performance rating.

e. Upon receipt of the approved performance rating, the supervisor will give it to the employee to sign and date all copies in item 19 and return them to the supervisor. The employee's signature does not necessarily indicate agreement with the performance rating. The date in item 19c will be the date that the employee was notified officially of the summary rating level assigned.

f. After the employee signs the performance rating, the supervisor will distribute it, with the correct box checked at the bottom of page 1 for each recipient. If the employee refuses to sign and date the rating, the supervisor will attempt to solve the problem. If it cannot be solved, the supervisor will note the employee's refusal in item 19, enter the date, and distribute the rating.

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Appendix B.

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Office of Personnel Management Approval



United States
**Office of
Personnel Management**

Washington, D.C. 20415

In Reply, Refer To

Your Reference

APR 10 1986

Mr. Raymond J. Sumser
Director of Civilian Personnel
Department of the Army
Washington, D. C. 20310-0300

Dear Mr. Sumser:

The purpose of this letter is to approve the Performance Appraisal related parts of the Department of the Army's Performance Management Plan of the Performance Management System in accordance with 5 CFR Part 430, Subparts A and B.

This letter also acknowledges that the Performance Appraisal related parts (i.e., Parts II, III and VI of the PMRS checklist, FPM Bulletin 540-30) of the Department of the Army's Performance Management Plan of the Performance Management and Recognition System were approved by the Office of Personnel Management on January 16, 1986, in accordance with 5 U.S.C. 4305, 5 U.S.C. 5409, and FPM Bulletin 540-31. This letter supercedes the letter of January 16, 1986, in that it approves modifications to that system forwarded to this office on April 8, 1986, (e.g., changes in the names of summary rating levels 1 and 2 from "unsatisfactory" and "minimally satisfactory" to "unacceptable" and "minimally acceptable" respectively, and other administrative and technical conforming changes made for ease of reading).

Any other subsequent change to either your Performance Management System plan or your Performance Management and Recognition System plan must be submitted to this office for approval. When you have finalized the Army regulation for communicating these plans to your system, please forward a copy to this office for our files.

Sincerely,

Barbara L. Fiss
Acting Assistant Director
for Performance Management/WED

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2. Post these changes per DA Pam 310-13.
3. File this interim change in front of the "400" series of chapters in the basic Federal Personnel Manual.

(DAPE-CPL)

By Order of the Secretary of the Army:

JOHN A. WICKHAM, JR.
General, United States Army
Chief of Staff

Official:

R. A. DILWORTH
Brigadier General, United States Army
The Adjutant General

Distribution:

Active Army, ARNG, USAR: To be distributed in accordance with DA Form 12-4 requirements for the FPM.